

# Exhibit 3

**EXHIBIT 3:**  
**PLAINTIFF'S SALES<sup>1</sup> OF STOCK WHERE THE SALE PRICE WAS  
FORMULAICALLY DETERMINED FROM THE CLOSING PRICE ON DATES  
WHERE SPOOFING EPISODES OCCURRED <sup>2</sup>**

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
1/2/18	1,499,936	\$0.19				
			12/27/17			
			12/26/17			
			12/21/17			
			12/20/17			
			12/19/17	2**	-2.80%	CITADEL SECURITIES LLC
1/8/18	323,379	\$0.33				
			12/27/17			
			12/26/17			
			12/21/17			
			12/20/17			
			12/19/17	2**	-2.80%	CITADEL SECURITIES LLC
1/8/18	562,919	\$0.19				
			12/27/17			
			12/26/17			
			12/21/17			
			12/20/17			
			12/19/17	2**	-2.80%	CITADEL SECURITIES LLC
1/8/18	526,787	\$0.20				
			12/19/17	2**	-2.80%	CITADEL SECURITIES LLC
			12/7/17			
			12/6/17			

<sup>1</sup> Certain sales of stock in this Exhibit contain prior true-ups. This means, for those particular transactions, share obligations incurred via prior true-ups are incorporated into the share volume and price of the transaction.

<sup>2</sup> The sales of stock in this Exhibit also appear in Exhibits 4 to 7, which further divide these sales by the type of sale and the duration of time between the Spoofing Episode and the close of trading on the Pricing Date.

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			11/22/17			
			11/21/17			
<b>1/11/18</b>	562,225	\$0.19				
			12/27/17			
			12/26/17			
			12/21/17			
			12/20/17			
			12/19/17	2**	-2.80%	CITADEL SECURITIES LLC
<b>2/8/18</b>	1,129,804	\$0.25				
			2/23/18	1*	-3.85%	CITADEL SECURITIES LLC
			2/26/18			
			2/27/18	1*	-2.95%	G1 EXECUTION SERVICES, LLC
			2/28/18	1*	-1.69%	CITADEL SECURITIES LLC
			3/2/18			
<b>2/9/18</b>	430,061	\$0.25				
			1/22/18			
			1/23/18			
			1/25/18	1*	-6.15%	CITADEL SECURITIES LLC
			1/29/18			
			1/30/18			
			2/23/18	1*	-3.85%	CITADEL SECURITIES LLC
			2/26/18			
			2/28/18	1*	-1.69%	CITADEL SECURITIES LLC
			3/2/18			
<b>2/12/18</b>	429,235	\$0.25				
			1/22/18			
			1/23/18			

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			1/25/18	1*	-6.15%	CITADEL SECURITIES LLC
			1/29/18			
			1/30/18			
			2/23/18	1*	-3.85%	CITADEL SECURITIES LLC
			2/26/18			
			2/27/18	1*	-2.95%	G1 EXECUTION SERVICES, LLC
			2/28/18	1*	-1.69%	CITADEL SECURITIES LLC
			3/2/18			
3/1/18	446,589	\$0.23				
			3/17/18			
			3/28/18	1*	-2.25%	CITADEL SECURITIES LLC
			3/29/18			
			4/2/18			
			4/4/18			
3/1/18	1,207,659	\$0.23				
			3/17/18			
			3/28/18	1*	-2.25%	CITADEL SECURITIES LLC
			3/29/18			
			4/2/18			
			4/3/18			
3/1/18	261,243	\$0.40				
			3/27/18	1*	-1.32%	CITADEL SECURITIES LLC
			3/28/18	1*	-2.25%	CITADEL SECURITIES LLC
			3/29/18			
			4/2/18			
			4/3/18			
4/17/18	551,682	\$0.20				

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			4/10/18			
			4/11/18			
			4/12/18			
			4/13/18			
			4/16/18	1*	-1.75%	CITADEL SECURITIES LLC
4/17/18	549,355	\$0.20				
			4/10/18			
			4/11/18			
			4/12/18			
			4/13/18			
			4/16/18	1*	-1.75%	CITADEL SECURITIES LLC
4/17/18	1,438,409	\$0.20				
			4/10/18			
			4/11/18			
			4/12/18			
			4/13/18			
			4/16/18	1*	-1.75%	CITADEL SECURITIES LLC
5/8/18	586,339	\$0.18				
			4/19/18			
			4/23/18			
			4/24/18	1*	-1.13%	CITADEL SECURITIES LLC
			4/25/18			
			4/26/18			
			5/14/18			
			5/15/18			
			5/16/18			
			5/17/18			
			5/21/18			
5/8/18	692,261	\$0.15				
			4/19/18			

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			4/23/18			
			4/24/18	1*	-1.13%	CITADEL SECURITIES LLC
			4/25/18			
			4/26/18			
5/8/18	687,960	\$0.16				
			4/19/18			
			4/23/18			
			4/24/18	1*	-1.13%	CITADEL SECURITIES LLC
			4/25/18			
			4/26/18			
5/8/18	1,852,640	\$0.15				
			4/19/18			
			4/23/18			
			4/24/18	1*	-1.13%	CITADEL SECURITIES LLC
			4/25/18			
			4/26/18			
6/21/18	1,999,458	\$0.18				
			5/23/18			
			5/24/18			
			5/25/18			
			6/11/18			
			6/12/18	2*	-1.43%	CITADEL SECURITIES LLC
			7/17/18			
			7/18/18			
			7/19/18			
			7/23/18			
			7/24/18	1*	-2.85%	CITADEL SECURITIES LLC
7/2/18	574,559	\$0.18				
			6/8/18			

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			6/11/18			
			6/12/18	2*	-1.43%	CITADEL SECURITIES LLC
			6/14/18	3*	-0.23%	CITADEL SECURITIES LLC
			6/29/18			
			7/17/18			
			7/18/18			
			7/30/18			
			8/1/18	1**	-2.31%	G1 EXECUTION SERVICES, LLC
			8/2/18			
7/2/18	576,374	\$0.18				
			6/8/18			
			6/11/18			
			6/12/18	2*	-1.43%	CITADEL SECURITIES LLC
			6/14/18	3*	-0.23%	CITADEL SECURITIES LLC
			6/29/18			
			7/17/18			
			7/18/18			
			7/23/18			
			7/30/18			
			8/1/18	1**	-2.31%	G1 EXECUTION SERVICES, LLC
8/1/18	598,317	\$0.17				
			7/17/18			
			7/18/18			
			7/19/18			
			7/23/18			
			7/24/18	1*	-2.85%	CITADEL SECURITIES LLC
			8/15/18			
			8/16/18			

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			8/17/18			
			8/20/18			
			8/21/18			
<b>8/1/18</b>	596,991	\$0.17				
			7/17/18			
			7/18/18			
			7/19/18			
			7/23/18			
			7/24/18	1*	-2.85%	CITADEL SECURITIES LLC
			8/15/18			
			8/16/18			
			8/17/18			
			8/20/18			
			8/21/18			
<b>4/3/19</b>	426,543	\$0.23				
			3/26/19			
			3/28/19	1**	-1.81%	VIRTU AMERICAS LLC
			3/29/19			
			4/1/19			
			4/2/19			
			4/22/19			
			4/24/19			
			4/25/19			
			4/26/19			
			4/29/19			
<b>4/11/19</b>	1,113,044	\$0.23				
			3/28/19	1**	-1.81%	VIRTU AMERICAS LLC
			3/29/19			
			4/2/19			
			4/3/19			
			4/4/19			



Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			4/22/19			
			4/24/19			
			4/25/19			
			4/26/19			
			4/29/19			
<b>4/23/19</b>	695,066	\$0.35				
			3/28/19	1**	-1.81%	VIRTU AMERICAS LLC
			3/29/19			
			4/2/19			
			4/3/19			
			4/22/19			
<b>5/17/19</b>	459,249	\$0.23				
			4/22/19			
			4/24/19			
			4/25/19			
			4/26/19			
			4/29/19			
			6/3/19	1*	-0.74%	VIRTU AMERICAS LLC
			6/13/19			
			6/17/19			
			6/19/19			
			6/20/19			
<b>6/3/19</b>	1,139,050	\$0.22				
			5/3/19			
			5/23/19	1*	-1.22%	CITADEL SECURITIES LLC
			5/24/19			
			5/28/19			
			5/29/19			
			6/26/19			
			6/27/19			
			6/28/19			

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			7/1/19			
			7/2/19			
<b>6/3/19</b>	453,273	\$0.22				
			5/3/19			
			5/23/19	1*	-1.22%	CITADEL SECURITIES LLC
			5/24/19			
			5/28/19			
			5/29/19			
			6/26/19			
			6/27/19			
			6/28/19			
			7/1/19			
			7/2/19			
<b>1/2/20</b>	761,905	\$0.21				
			12/31/19	4*	-3.32%	CITADEL SECURITIES LLC, INSTINET, LLC
<b>10/1/20</b>	62,549	\$2.60				
			9/2/20	15*	-4.66%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC
			9/3/20	5*	-6.94%	CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			9/9/20	1*	-5.92%	GTS SECURITIES LLC
			9/11/20	1*	-3.39%	G1 EXECUTION SERVICES, LLC
<b>10/1/20</b>	166,564	\$0.49				
			9/2/20	15*	-4.66%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			9/3/20	5*	-6.94%	CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			9/9/20	1*	-5.92%	GTS SECURITIES LLC
			9/10/20			
			9/11/20	1*	-3.39%	G1 EXECUTION SERVICES, LLC
<b>10/1/20</b>	328,577	\$0.49				
			9/2/20	15*	-4.66%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC
			9/3/20	5*	-6.94%	CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			9/9/20	1*	-5.92%	GTS SECURITIES LLC
			9/10/20			
			9/11/20	1*	-3.39%	G1 EXECUTION SERVICES, LLC
<b>10/12/20</b>	30,637	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	147,059	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	12,255	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
10/12/20	370,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC;

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	500,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	140,845	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	612,745	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC;

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						CANACCORD GENUITY LLC
<b>10/12/20</b>	183,824	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	122,549	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC



Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	50,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	612,745	\$0.82				

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	42,892	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	98,039	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	245,098	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
10/12/20	61,275	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC;

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	122,549	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	122,549	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	306,373	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC;

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						CANACCORD GENUITY LLC
10/12/20	30,637	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
10/12/20	1,225,490	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	61,275	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	122,549	\$0.82				



Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	<b>98,039</b>	<b>\$0.82</b>				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	245,098	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	275,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
10/12/20	150,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC;

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	61,275	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	122,549	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	61,275	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC;

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						CANACCORD GENUITY LLC
<b>10/12/20</b>	2,500,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	612,745	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	367,647	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	61,275	\$0.82				

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	<b>183,824</b>	<b>\$0.82</b>				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC



Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	75,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	136,667	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
10/12/20	600,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC;

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	1,250,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	50,000	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>10/12/20</b>	<b>30,637</b>	<b>\$0.82</b>				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC;

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						CANACCORD GENUITY LLC
<b>10/12/20</b>	122,549	\$0.82				
			9/29/20	1*	-9.88%	CANACCORD GENUITY LLC
			9/30/20	1*	-3.34%	VIRTU AMERICAS LLC
			10/1/20	2**	-2.69%	LIME TRADING CORP.; CITADEL SECURITIES LLC
			10/2/20			
			10/5/20			
			10/6/20	1*	-2.84%	GTS SECURITIES LLC
			10/7/20			
			10/8/20	2**	-3.32%	CITADEL SECURITIES LLC
			10/9/20	1*	-2.44%	GTS SECURITIES LLC
			10/12/20	28**	-3.11%	CITADEL SECURITIES LLC; GTS SECURITIES LLC; VIRTU AMERICAS LLC; CANACCORD GENUITY LLC
<b>11/10/20</b>	75,935	\$2.15				
			10/13/20	17*	-4.75%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC, GTS SECURITIES LLC, CANACCORD GENUITY LLC, VIRTU AMERICAS LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			10/14/20	4**	-2.66%	CITADEL SECURITIES LLC
			10/27/20	85**	-6.45%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC, GTS SECURITIES LLC, VIRTU AMERICAS LLC, CANACCORD GENUITY LLC, INSTINET, LLC
			10/30/20	2*	-2.80%	GTS SECURITIES LLC, INSTINET, LLC
			11/9/20	4*	-6.87%	VIRTU AMERICAS LLC, CANACCORD GENUITY LLC, CITADEL SECURITIES LLC
			11/19/20			
			11/23/20	1*	-2.26%	GTS SECURITIES LLC
			11/24/20	3*	-3.52%	G1 EXECUTION SERVICES LLC; CITADEL SECURITIES LLC
			11/25/20	1*	-0.40%	VIRTU AMERICAS LLC
			11/27/20	4*	-2.77%	CITADEL SECURITIES LLC; G1 EXECUTION SERVICES LLC; INSTINET, LLC
11/10/20	59,291	\$2.08				
			10/13/20	17*	-4.75%	CITADEL SECURITIES LLC, G1 EXECUTION

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						SERVICES, LLC, GTS SECURITIES LLC, CANACCORD GENUITY LLC, VIRTU AMERICAS LLC
			10/14/20	4**	-2.66%	CITADEL SECURITIES LLC
			10/27/20	85**	-6.45%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC, GTS SECURITIES LLC, VIRTU AMERICAS LLC, CANACCORD GENUITY LLC, INSTINET, LLC
			10/30/20	2*	-2.80%	GTS SECURITIES LLC, INSTINET, LLC
			11/9/20	4*	-6.87%	VIRTU AMERICAS LLC, CANACCORD GENUITY LLC, CITADEL SECURITIES LLC
			11/19/20			
			11/23/20	1*	-2.26%	GTS SECURITIES LLC
			11/24/20	3*	-3.52%	G1 EXECUTION SERVICES LLC; CITADEL SECURITIES LLC
			11/25/20	1*	-0.40%	VIRTU AMERICAS LLC
			11/27/20	4*	-2.77%	CITADEL SECURITIES LLC;

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						G1 EXECUTION SERVICES LLC; INSTINET, LLC
11/10/20	53,745	\$1.75				
			10/13/20	17*	-4.75%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC, GTS SECURITIES LLC, CANACCORD GENUITY LLC, VIRTU AMERICAS LLC
			10/14/20	4**	-2.66%	CITADEL SECURITIES LLC
			10/27/20	85**	-6.45%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC, GTS SECURITIES LLC, VIRTU AMERICAS LLC, CANACCORD GENUITY LLC, INSTINET, LLC
			10/30/20	2*	-2.80%	GTS SECURITIES LLC, INSTINET, LLC
			11/9/20	4*	-6.87%	VIRTU AMERICAS LLC, CANACCORD GENUITY LLC, CITADEL SECURITIES LLC
			11/19/20			
			11/23/20	1*	-2.26%	GTS SECURITIES LLC



Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			11/24/20	3*	-3.52%	G1 EXECUTION SERVICES LLC; CITADEL SECURITIES LLC
			11/25/20	1*	-0.40%	VIRTU AMERICAS LLC
			11/27/20	4*	-2.77%	CITADEL SECURITIES LLC; G1 EXECUTION SERVICES LLC; INSTINET, LLC
1/15/21	94,463	\$1.34				
			12/16/20	1*	-1.60%	CITADEL SECURITIES LLC
			12/17/20			
			12/21/20	1*	-4.41%	CITADEL SECURITIES LLC
			12/22/20	2**	-1.33%	CITADEL SECURITIES LLC
			1/14/21	4*	-2.03%	CANACCORD GENUITY LLC, CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			1/19/21	8*	-1.26%	CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			1/20/21	1*	-1.03%	CANACCORD GENUITY LLC
			1/21/21	1*	-9.75%	CITADEL SECURITIES LLC
			1/22/21	2*	-3.40%	CITADEL SECURITIES LLC; VIRTU AMERICAS LLC
			1/25/21	4*	-1.41%	LIME TRADING CORP., CITADEL

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						SECURITIES LLC, VIRTU AMERICAS LLC, CANACCORD GENUITY LLC
1/15/21	121,782	\$1.35				
			12/16/20	1*	-1.60%	CITADEL SECURITIES LLC
			12/17/20			
			12/21/20	1*	-4.41%	CITADEL SECURITIES LLC
			12/22/20	2**	-1.33%	CITADEL SECURITIES LLC
			1/14/21	4*	-2.03%	CANACCORD GENUITY LLC, CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			1/15/21	3*	-1.70%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC
			1/19/21	8*	-1.26%	CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			1/20/21	1*	-1.03%	CANACCORD GENUITY LLC
			1/21/21	1*	-9.75%	CITADEL SECURITIES LLC
			1/25/21	4*	-1.41%	LIME TRADING CORP., CITADEL SECURITIES LLC, VIRTU AMERICAS LLC, CANACCORD GENUITY LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
<b>1/19/21</b>	185,155	\$1.14				
			12/17/20			
			12/21/20	1*	-4.41%	CITADEL SECURITIES LLC
			12/22/20	2**	-1.33%	CITADEL SECURITIES LLC
			1/14/21	4*	-2.03%	CANACCORD GENUITY LLC, CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			1/15/21	3*	-1.70%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC
			1/20/21	1*	-1.03%	CANACCORD GENUITY LLC
			1/21/21	1*	-9.75%	CITADEL SECURITIES LLC
			1/22/21	2*	-3.40%	CITADEL SECURITIES LLC; VIRTU AMERICAS LLC
			1/25/21	4*	-1.41%	LIME TRADING CORP., CITADEL SECURITIES LLC, VIRTU AMERICAS LLC, CANACCORD GENUITY LLC
			1/26/21	6**	-1.97%	VIRTU AMERICAS LLC; CITADEL SECURITIES LLC
<b>1/19/21</b>	68,790	\$1.37				
			12/17/20			
			12/21/20	1*	-4.41%	CITADEL SECURITIES LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			12/22/20	2**	-1.33%	CITADEL SECURITIES LLC
			1/14/21	4*	-2.03%	CANACCORD GENUITY LLC, CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			1/15/21	3*	-1.70%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC
			1/20/21	1*	-1.03%	CANACCORD GENUITY LLC
			1/21/21	1*	-9.75%	CITADEL SECURITIES LLC
			1/22/21	2*	-3.40%	CITADEL SECURITIES LLC; VIRTU AMERICAS LLC
			1/25/21	4*	-1.41%	LIME TRADING CORP., CITADEL SECURITIES LLC, VIRTU AMERICAS LLC, CANACCORD GENUITY LLC
			1/26/21	6**	-1.97%	VIRTU AMERICAS LLC; CITADEL SECURITIES LLC
<b>2/1/21</b>	102,902	\$1.17				
			1/13/21	1*	-2.10%	CITADEL SECURITIES LLC
			1/14/21	4*	-2.03%	CANACCORD GENUITY LLC, CITADEL SECURITIES LLC, VIRTU AMERICAS LLC

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			1/15/21	3*	-1.70%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC
			1/19/21	8*	-1.26%	CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			1/25/21	4*	-1.41%	LIME TRADING CORP., CITADEL SECURITIES LLC, VIRTU AMERICAS LLC, CANACCORD GENUITY LLC
			2/19/21	4*	-1.87%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC, LIME TRADING CORP.
			2/22/21	6*	-1.58%	G1 EXECUTION SERVICES, LLC, LIME TRADING CORP.
			2/23/21	31*	-5.96%	LIME TRADING CORP., CITADEL SECURITIES LLC, CANACCORD GENUITY LLC, VIRTU AMERICAS LLC, GTS SECURITIES LLC
			2/25/21	11**	-1.45%	LIME TRADING CORP.
			2/26/21	8*	-1.72%	LIME TRADING CORP., VIRTU AMERICAS LLC
<b>2/1/21</b>	135,922	\$1.17				

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			1/13/21	1*	-2.10%	CITADEL SECURITIES LLC
			1/14/21	4*	-2.03%	CANACCORD GENUITY LLC, CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			1/15/21	3*	-1.70%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC
			1/19/21	8*	-1.26%	CITADEL SECURITIES LLC, VIRTU AMERICAS LLC
			1/25/21	4*	-1.41%	LIME TRADING CORP., CITADEL SECURITIES LLC, VIRTU AMERICAS LLC, CANACCORD GENUITY LLC
<b>3/2/21</b>	86,605	\$1.47				
			2/19/21	4*	-1.87%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC, LIME TRADING CORP.
			2/22/21	6*	-1.58%	G1 EXECUTION SERVICES, LLC, LIME TRADING CORP.
			2/23/21	31*	-5.96%	LIME TRADING CORP., CITADEL SECURITIES LLC, CANACCORD GENUITY LLC,

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
						VIRTU AMERICAS LLC, GTS SECURITIES LLC
			2/25/21	11**	-1.45%	LIME TRADING CORP.
			2/26/21	8*	-1.72%	LIME TRADING CORP., VIRTU AMERICAS LLC
3/2/21	123,547	\$1.28				
			2/19/21	4*	-1.87%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC, LIME TRADING CORP.
			2/22/21	6*	-1.58%	G1 EXECUTION SERVICES, LLC, LIME TRADING CORP.
			2/23/21	31*	-5.96%	LIME TRADING CORP., CITADEL SECURITIES LLC, CANACCORD GENUITY LLC, VIRTU AMERICAS LLC, GTS SECURITIES LLC
			2/25/21	11**	-1.45%	LIME TRADING CORP.
			2/26/21	8*	-1.72%	LIME TRADING CORP., VIRTU AMERICAS LLC
3/2/21	92,436	\$1.30				
			2/19/21	4*	-1.87%	CITADEL SECURITIES LLC, G1 EXECUTION SERVICES, LLC, LIME TRADING CORP.

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			2/22/21	6*	-1.58%	G1 EXECUTION SERVICES, LLC, LIME TRADING CORP.
			2/23/21	31*	-5.96%	LIME TRADING CORP., CITADEL SECURITIES LLC, CANACCORD GENUITY LLC, VIRTU AMERICAS LLC, GTS SECURITIES LLC
			2/25/21	11**	-1.45%	LIME TRADING CORP.
			2/26/21	8*	-1.72%	LIME TRADING CORP., VIRTU AMERICAS LLC
			3/5/21	13*	-3.08%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/8/21	3*	-1.24%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/9/21	4*	-1.97%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/10/21	4*	-1.15%	LIME TRADING CORP.
			4/1/21	29**	-3.29%	CITADEL SECURITIES LLC, CANACCORD GENUITY LLC, LIME TRADING CORP., INSTINET, LLC
<b>3/15/21</b>	566,783	\$1.16				



Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			2/22/21	6*	-1.58%	G1 EXECUTION SERVICES, LLC, LIME TRADING CORP.
			2/23/21	31*	-5.96%	LIME TRADING CORP., CITADEL SECURITIES LLC, CANACCORD GENUITY LLC, VIRTU AMERICAS LLC, GTS SECURITIES LLC
			3/4/21	15*	-2.82%	LIME TRADING CORP., CITADEL SECURITIES LLC
			3/5/21	13*	-3.08%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/8/21	3*	-1.24%	CITADEL SECURITIES LLC, LIME TRADING CORP.
4/5/21	104,827	\$1.22				
			3/5/21	13*	-3.08%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/8/21	3*	-1.24%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/9/21	4*	-1.97%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/10/21	4*	-1.15%	LIME TRADING CORP.

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			4/1/21	29**	-3.29%	CITADEL SECURITIES LLC, CANACCORD GENUITY LLC, LIME TRADING CORP., INSTINET, LLC
4/5/21	99,809	\$1.20				
			3/5/21	13*	-3.08%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/8/21	3*	-1.24%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/9/21	4*	-1.97%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/10/21	4*	-1.15%	LIME TRADING CORP.
			4/1/21	29**	-3.29%	CITADEL SECURITIES LLC, CANACCORD GENUITY LLC, LIME TRADING CORP., INSTINET, LLC
4/5/21	352,284	\$1.18				
			3/5/21	13*	-3.08%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/8/21	3*	-1.24%	CITADEL SECURITIES LLC, LIME TRADING CORP.

Transaction Date	Shares Sold	Formulaic Sale Price	Pricing Date(s)	# of Spoofing Episodes	Average Return to Spoofing Episodes	Defendant(s)
			3/9/21	4*	-1.97%	CITADEL SECURITIES LLC, LIME TRADING CORP.
			3/10/21	4*	-1.15%	LIME TRADING CORP.
			4/1/21	29**	-3.29%	CITADEL SECURITIES LLC, CANACCORD GENUITY LLC, LIME TRADING CORP., INSTINET, LLC
12/3/21	208,861	\$0.79				
			12/2/21	1*	-0.63%	CITADEL SECURITIES LLC
12/12/21	666,667	\$0.60				
			12/10/21	5**	-3.18%	CANACCORD GENUITY LLC, CITADEL SECURITIES LLC, GTS SECURITIES LLC
12/12/21	1,000,000	\$0.60				
			12/10/21	5**	-3.18%	CANACCORD GENUITY LLC., CITADEL SECURITIES LLC, GTS SECURITIES LLC
12/12/21	250,000	\$0.60				
			12/10/21	5**	-3.18%	CANACCORD GENUITY LLC, CITADEL SECURITIES LLC, GTS SECURITIES LLC
3/14/22	142,857	\$0.70				

<b>Transaction Date</b>	<b>Shares Sold</b>	<b>Formulaic Sale Price</b>	<b>Pricing Date(s)</b>	<b># of Spoofing Episodes</b>	<b>Average Return to Spoofing Episodes</b>	<b>Defendant(s)</b>
			3/14/22	1*	-0.69%	CITADEL SECURITIES LLC
<b>Totals</b>						
<b>95 Sales</b>	<b>40,507,628</b>					

\*\* Denotes a day where there were Spoofing Episodes in the final hour of trading.

\* Denotes a day where there were Spoofing Episodes within 24 hours of close of trading.